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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

2100632-991126

First Inventor

Feng-Qi Lai et al.

Title

Phonological Awareness, Phonological Processing, and Reading Skill Testing

Express Mail Label No.

EV 302277537 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 133]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 29]
5. Oath or Declaration [Total Sheets 3]
- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
- i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Reader Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ Paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1499 ☒ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Transmittal of Divisional Application and Preliminary Amendment; Ck# 302277537 for \$668; Express Mail Certificate EV302277537US;

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/912,681

Prior application information:

Examiner Chanda L. HArt Unit: 3714

For CONTINUATION OF DIVISIONAL APPS only; The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number:

26379

OR

☐ Correspondence address below

Name

Timothy W. Lohse

Address

Gray Cary Ware & Freidenrich LLP  
2000 University Avenue

City

East Palo Alto

State

CA

Zip Code

94303

Country

United States

Telephone

650-833-2055

Fax

650-833-2001

Name (Print/Type)

Timothy W. Lohse

Registration No. (Attorney/Agent)

35,255

Signature

Date November 14, 2003

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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111403

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# FEE TRANSMITTAL

## for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

**Complete if Known**

Application Number	To Be Assigned
Filing Date	November 13, 2003
First Named Inventor	Feng-Qi Lai et al.
Examiner Name	To Be Assigned
Art Unit	To Be Assigned
Attorney Docket No.	2100632-991126

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 668.00

**METHOD OF PAYMENT** (check all that apply)
☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☐ Deposit Account:Deposit Account Number  
Deposit Account Name

07-1896

Gray Cary Ware &amp; Freidenrich LLP

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1001 770	2001 385	Utility filing fee	385
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1) (\$)			385.00

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	Extra Claims	Fee from below	Fee Paid
47	-20** = 27	X 9 =	243
Independent Claims	1	-3** = 0	X 43 = 0
Multiple Dependent			

Large Entity	Small Entity	Fee Description
Fee Code (\$)	Fee Code (\$)	
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) (\$)		243.00

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION** (continued)**3. ADDITIONAL FEES**

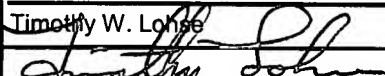
Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051 130		2051 65		Surcharge - late filing fee or oath	
1052 50		2052 25		Surcharge - late provisional filing fee or cover sheet	
1053 130		1053 130		Non-English specification	
1812 2,520		1812 2,520		For filing a request for <i>ex parte</i> reexamination	
1804 920*		1804 920*		Requesting publication of SIR prior to Examiner action	
1805 1,840*		1805 1,840*		Requesting publication of SIR after Examiner action	
1251 110		2251 55		Extension for reply within first month	
1252 420		2252 210		Extension for reply within second month	
1253 950		2253 475		Extension for reply within third month	
1254 1,480		2254 740		Extension for reply within fourth month	
1255 2,010		2255 1,005		Extension for reply within fifth month	
1401 330		2401 165		Notice of Appeal	
1402 330		2402 165		Filing a brief in support of an appeal	
1403 290		2403 145		Request for oral hearing	
1451 1,510		1451 1,510		Petition to institute a public use proceeding	
1452 110		2452 55		Petition to revive - unavoidable	
1453 1,330		2453 665		Petition to revive - unintentional	
1501 1,330		2501 665		Utility issue fee (or reissue)	
1502 480		2502 240		Design issue fee	
1503 640		2503 320		Plant issue fee	
1460 130		1460 130		Petitions to the Commissioner	
1807 50		1807 50		Processing fee under 37 CFR 1.17(q)	
1806 180		1806 180		Submission of Information Disclosure Stmt	
8021 40		8021 40		Recording each patent assignment per property (times number of properties)	40
1809 770					
		2809 385		Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770		2810 385		For each additional invention to be examined (37 CFR 1.129(b))	
1801 770		2801 385		Request for Continued Examination (RCE)	
1802 900		1802 900		Request for expedited examination of a design application	
Other fee (specify)					
SUBTOTAL (3) (\$)					40.00

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY**

(Complete if applicable)

Name (Print/Type)	Timothy W. Lohse	Registration No. (Attorney/Agent)	35,255	Telephone	650-833-2055
Signature		Date	November 14, 2003		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.


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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

EXPRESS MAIL NUMBER: EV 302277537 US

DATE OF DEPOSIT: November 14, 2003

I hereby certify that this paper is being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Mail Stop PATENT APPLICATION, Commissioner for Patents; P.O. Box 1450, Alexandria, VA 22313-1450.

  
Cathy Pittman

\* \* \*

CERTIFICATE OF MAILING BY EXPRESS MAIL

COMMISSIONER OF PATENTS

Mail Stop Patent Application

Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing under 37 CFR 1.53(b) is the utility patent application of:

INVENTOR(s): Feng-Qi Lai et al.

FOR: PHONOLOGICAL AWARENESS, PHONOLOGICAL  
PROCESSING AND READING SKILL TESTING

Enclosed are:

- [ 1 ] Utility Patent Application Transmittal;
- [ 3 ] Transmittal Letter with Preliminary Amendment;
- [172] Copies of original Application  
Original specification, claims and abstract w/Appendix A (133 p);  
Drawings (31 p);  
Declaration for Patent Application (4 p);  
Assignment (4 p);
- [11] Preliminary Amendment;
- [ 1 ] Transmittal of Formal Drawings;
- [29] Formal Drawing sheets;
- [ 5 ] Information Disclosure Statement with Form PTO 1449;
- [90] U.S. Patents (69); Articles (21);
- [ 1 ] Fee Transmittal FY 2004;
- [ 1 ] Check # 548175 for \$668.00;
- [ 1 ] Certificate of Mailing By Express Mail No.: EV302277537 US (1 pg); and
- [ 1 ] Return Postcard

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Feng-Qi Lai et al.

Serial No.: To Be Assigned

Group Art Unit: To Be Assigned

Filed: November 1<sup>4</sup>~~3~~, 2003

Examiner: To Be Assigned

Title: PHONOLOGICAL AWARENESS, PHONOLOGICAL PROCESSING, AND  
READING SKILL TESTING

EXPRESS MAIL NO.: EV 302277537 US

Date of Deposit November 1<sup>4</sup>, 2003

I hereby certify that this paper is being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Mail Stop PATENT APPLICATION, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
Cathy Pittman

TRANSMITTAL OF DIVISIONAL APPLICATION AND PRELIMINARY AMENDMENT

MAIL STOP PATENT APPLICATION

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir/Madam:

Applicant hereby respectfully submits the enclosed

[X] Divisional application under **37 CFR §1.53(b)**, of prior application Serial No. 09/912,681 filed on July 24, 2001, which is a continuation of application serial no. 09/350,791 filed on July 9, 1999.

entitled: PHONOLOGICAL AWARENESS, PHONOLOGICAL PROCESSING AND  
READING SKILL TESTING

**1. Copy of Prior Application as Filed Which is Attached**

- ☒ The undersigned hereby verifies that the attached papers are a true copy of the above-identified prior application, including the oath or declaration originally filed (37 CFR 1.53(b)).

The copy of the papers of prior application as filed which are attached hereto are as follows:

44 pages of specification  
64 pages of claims  
1 page of abstract  
24 pages of Appendix A  
31 sheet(s) of drawings  
4 pages of Declaration and power of attorney;  
4 pages of Assignment ;

**2. Amendments**

- ☒ Cancel in this application original claims 1-47 and 95-481 of the prior application before calculating the filing fee.  
☒ A preliminary amendment is enclosed.

**3. Inventorship Statement**

With respect to the prior copending U.S. application from which this application claims benefit under 35 U.S.C. 120, the inventor(s) in this application are:

- ☒ the same;  
☐ less than those named in the prior application and it is requested that the following inventor(s) identified above for the prior application be deleted;  
☐ not the same, and an explanation, including the ownership of the various claims at the time the last claimed invention was made, is being filed herewith.

**4. Assignment**

- ☒ The prior application is assigned of record to Cognitive Concepts, Inc.  
A copy of the recorded assignment is enclosed.

**5. Fee Payment Being Made At This Time**

- ☒ Check No. 548175 in the amount of \$668.00 is enclosed.

**6. Authorization To Charge Additional Fees**

- ☒ The Commissioner is hereby authorized to charge any underpayments or debit any overpayments which may be required by this paper and during the entire pendency of the application to Account No. 07-1896:

**7. Power of Attorney**

☒ The power of attorney in the prior application is to

☐ The following names:

☒ All names associated with Customer Number:

26379

Gray Cary Ware & Freidenrich LLP  
2000 University Avenue  
East Palo Alto, CA 94303

☒ All future correspondence should be addressed to:

Timothy W. Lohse  
GRAY CARY WARE & FREIDENRICH LLP  
2000 University Avenue  
East Palo Alto, CA 94303

**8. Abandonment of Prior Application (if applicable)**


☐ Please abandon the prior application at a time while the prior application is pending or when the petition for extension of time or to revive in that application is granted and when this application is granted a filing date so as to make this application copending with said prior application.

**9. Formal Drawings**

☒ At this time, Applicant is filing the formal drawings for this continuation application under separate cover.

Respectfully submitted,

Dated: November 14, 2003



Timothy W. Lohse  
Reg. No.: 35,255  
Attorney for Assignee

GRAY CARY WARE & FREIDENRICH LLP  
2000 University Avenue  
East Palo Alto, CA 94303  
Telephone: (650) 833-2055  
Facsimile: (650) 833-2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Feng-Qi Lai; Janet Wasowicz; Andrew Morrison

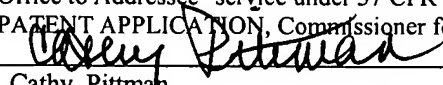
Serial No.: To Be Assigned

Group Art Unit: To Be Assigned

Filed: November 13, 2003

Examiner: To Be Assigned

Title: PHONOLOGICAL AWARENESS, PHONOLOGICAL PROCESSING, AND  
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EXPRESS MAIL NUMBER: EV 302277537 US	DATE OF DEPOSIT: November 14, 2003
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 Cathy Pittman	

\* \* \*

TRANSMITTAL OF FORMAL DRAWINGS

Commissioner for Patents

**MAIL STOP PATENT APPLICATION**

P.O. Box 1450, Alexandria, VA 22313-1450

Dear Sir:

Enclosed are twenty-nine (29) sheets of Formal Drawings to accompany the Divisional Application filed herewith.

Please address all future communications regarding this application to:

Timothy W. Lohse  
GRAY CARY WARE & FREIDENRICH LLP  
2000 University Avenue  
East Palo Alto, CA 94303  
(650)833-2055 (Telephone)  
(650)833-2001 (Facsimile)

Dated November 14, 2003

GRAY CARY WARE & FREIDENRICH LLP

By   
Timothy W. Lohse, Reg. No. 35,255

GRAY CARY WARE & FREIDENRICH  
2000 University Avenue  
East Palo Alto, CA 94303  
Attorneys for Applicant